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1299 PENNSYLVANIA AVE., NW
WASHINGTON, DC 20004-2402
PHONE 202.783.0800
FAX 202.383.6610
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October 17, 2002

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Commissioner for Patents
Washington, D.C. 20231

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Re: U.S. Patent Application Serial No. 09/781,150
Filed: February 13, 2001 (Div. of Appl. No. 09/467,384)
For: **System for Withdrawing and Dewatering
Slag from a Gasification Equipment**
Inventors: John D. WINTER, et al.
Attorney Docket No. 06950.0167.DVUS01

Sir:

The following documents are forwarded for appropriate action by the U.S. Patent and Trademark Office:

1. Information Disclosure Statement (4 pages) ;
2. Form PTO-1449 (1 page) with 1 attached reference; and
3. PTO return receipt postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

It is believed that no fees are required for filing this document. However, the U.S. Patent and Trademark Office is hereby authorized to charge any required fee, or credit any overpayment, to our Deposit Account No. 08-3038. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 08-3038 referencing the above attorney docket number. *A duplicate copy of this letter is enclosed.*

Respectfully submitted,

Michael J. Bell (Reg. No. 39,604)
Anthony L. Meola (Reg. No. 44,936)

Enclosures



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

John D. WINTER, *et al.*

Appl. No. 09/781,150

Filed: February 13, 2001

For: **System For Withdrawing and
Dewatering Slag from a
Gasification Equipment**

Art Unit: 3651

Examiner: To be Assigned

Atty. Docket: 06950.0167.DVUS01

Confirmation No.: 9106

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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will consider information that

had been cited by or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120. 1138 OG 37, 38 (May 19, 1992).

Applicants have checked the appropriate boxes below.

- ☒ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No statement under 37 C.F.R. § 1.97(e) or fee is required.
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.
- ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ c. Attached is our Check No. _____ in the amount of \$ 180.00 in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. It is hereby requested that the Information Disclosure Statement be considered. Attached is our Check No. _____ in the amount of \$ _____ in payment of the fee under 37 C.F.R. § 1.17(i).

- ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 4. Relevance of the non-English language document(s) is discussed in the present specification.
- ☐ 5. The documents were cited in a corresponding foreign application. An English language version of the foreign search report is attached for the Examiner's information.
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☒ 7. The Examiner's attention is directed to co-pending U.S. Patent Application No. 09/781,200, filed February 13, 2001, which is directed to related technical subject matter. The identification of this U.S. Patent Application is not to be construed as a waiver of secrecy as to that application now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited application and the art cited therein during examination.
- ☐ 8. Copies of the documents were cited by or submitted to the Office in Application No. _____, filed _____, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 08-3038 referencing docket number *06950.0167.DVUS01*.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Michael J. Bell".

Michael J. Bell (Reg. No. 39,604)

Anthony L. Meola (Reg. No. 44,936)

Date: October 17, 2002

HOWREY SIMON ARNOLD & WHITE, LLP
Box No. 34
1299 Pennsylvania Avenue, N.W.
Washington, D.C. 20004-2402
(202) 783-0800



OCT 17 2002

FORM PTO-1449

INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO. 06950.0167.DVUS01

APPLICATION NO. 09/781,150

APPLICANT: WINTER, et al.

FILING DATE: February 13, 2001

GROUP: 3651

U.S. PATENT DOCUMENTS

| EXAMINER INITIALS | REF. NO. | DOCUMENT NUMBER | GRANT DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
|-------------------|----------|-----------------|------------|------|-------|-----------|-------------|
| | AA1 | 4790251 | 12/1988 | Vidt | | | |
| | AB1 | | | | | | |
| | AC1 | | | | | | |
| | AD1 | | | | | | |
| | AE1 | | | | | | |
| | AF1 | | | | | | |
| | AG1 | | | | | | |
| | AH1 | | | | | | |
| | AI1 | | | | | | |
| | AJ1 | | | | | | |
| | AK1 | | | | | | |

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FOREIGN PATENT DOCUMENTS

| EXAMINER INITIALS | REF. NO. | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|-------------------|----------|-----------------|------|---------|-------|-----------|-------------|
| | AL1 | | | | | | Yes |
| | AM1 | | | | | | |
| | AN1 | | | | | | |
| | AO1 | | | | | | |
| | AP1 | | | | | | |

| EXAMINER INITIALS | REF. NO. | OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |
|-------------------|----------|--|
| | AS 1 | |
| | AT 1 | |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.